

## **APPENDIX M**

### **SAMPLE FORMAT FOR A PROJECT MANAGEMENT PLAN AND**

### **A QUARTERLY PROJECT IMPLEMENTATION SCHEDULE**

For A CDBG Housing Project Administered By Local Government Staff

In response to Ranking Criterion 5 (*Implementation and Management*), each application to CDBG must include both a draft *Project Management Plan* and a draft *Quarterly Project Implementation Schedule* (which will be updated/revised as needed as part of project start-up for successful grantees, with the Project Implementation Schedule being incorporated into the CDBG contract.) Appendix M provides a model plan and schedule that might be used.

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### **(SAMPLE) FORMAT FOR A PROJECT MANAGEMENT PLAN**

The sample management plan format found below is *only an example* of an acceptable *Project Management Plan* for a city-managed housing project that involves both new housing construction and housing rehabilitation components.

The sample below is a scheme that may have many components and action steps that do not pertain to your proposed project -- so you will have to adapt it to match your proposed project and your specific situation. Each project's management plan and implementation schedule will be unique and will, therefore, need to address all the specific issues, timelines and administrative structures relevant to the community's proposed project.

With minor changes the following sample management plan for a housing project that is administered by local government (city) staff can be adapted for a housing project to be administered by a consultant (rather than by a government staff person).

The fourth paragraph refers to designating (as a hypothetical example) the Director of the City-County planning board as Project Manager. This could easily be revised to state that a consultant (i.e., a contracted services provider, to be hired by means of an open, free competition meeting CDBG procurement guidelines in Chapter 3 of the *CDBG Grant Administration Manual* (on-line at [http://comdev.mt.gov/CDD\\_CDBG\\_GA.asp](http://comdev.mt.gov/CDD_CDBG_GA.asp)) would be designated as Project Manager and will be responsible for overall project management.

#### **I. ADMINISTRATIVE STRUCTURE**

The City of \_\_\_\_\_ is an incorporated city with a Mayor-Council form of government. The following persons will have lead responsibility for administering the City's FY \_\_\_\_\_ Community Development Block Grant (CDBG) project for housing rehabilitation and for construction of new affordable housing for low and moderate persons, as identified in CDBG Contract MT-CDBG-HR0x-0x.

Mayor \_\_\_\_\_, as the City's chief elected official will have responsibility for all official contacts with the Montana Department of Commerce (MDOC). The Mayor and City Council will have ultimate authority and responsibility for the management of project activities and expenditure of CDBG funds. The approval of all contracts and drawdown requests will be the responsibility of the City Council.

\_\_\_\_\_, Clerk-Treasurer, as the City's chief financial officer, will be responsible for management of, and record keeping for, the CDBG funds and all other funds involved in the financing of this project. One-fourth of this position's time will be devoted to CDBG administration during the term of the project.

\_\_\_\_\_, Director of the City-County Planning Board, will be designated as Project Manager and be responsible for overall project management and reporting and for assuring compliance with the CDBG-approved scope of work for the project, with duties listed in the CDBG contract and in the CDBG Manual for compliance with applicable federal and State requirements. The Project Manager will serve as the City's liaison with MDOC for the project. One-third of this position's time will be devoted to CDBG project administration during the term of the project.

\_\_\_\_\_, City Attorney, as the City's legal counsel, will review and advise the Mayor and Council regarding any proposed contractual agreements associated with the CDBG project and will provide any other legal guidance as requested.

\_\_\_\_\_, Project Architect (a contracted services provider, procured by an open and free Request for Qualifications/RFQ competition in accordance with CDBG procurement guidelines), will be responsible for construction-related activities including preparation of preliminary architectural studies and designs, final design plans and specifications, as well as construction inspection, in close cooperation with the Project Manager. Construction tractor compliance, scheduling, and payment requests will also be subject to the Project Architect's review and approval.

The Mayor, Clerk-Treasurer, and Planning Director will attend the required MDOC CDBG Project Administration Workshop.

## **II. PROJECT MANAGEMENT**

### **A. *The Project Manager* will be responsible for:**

1. Being familiar with the current *CDBG Grant Administration Manual* and its requirements and for assuring compliance with the CDBG contract and with CDBG policies for project activities and administration.
2. Preparing the environmental review to assure full compliance with the National and Montana Environmental Policy Acts, completion of the statutory checklist, and any other applicable environmental requirements. The Project Manager will also be responsible for preparing any legal notices required to be published for the environmental review process and conducting any required public hearings or informational meetings.
3. Preparing a request for release of funds to MDOC.
4. Developing a contract with MDOC and assisting the City with all requirements related to effective project start-up and implementation.
5. Establishing and maintaining complete and accurate project files and preparing all documentation needed, the Quarterly Project Update Reports (Exhibit 4-N) required by CDBG, and reports incidental to

administration of the grant such as Progress Reports (Exhibit 4-F) required with each request for a drawdown of CDBG funds.

6. Assisting the City with selection of the contracted services of a Project Architect in conformance with CDBG procurement requirements and state laws concerning procurement of architectural services, including, as needed, the preparation of Requests for Qualifications (RFQs) for publication or other distribution.
7. Overseeing the city's contract with the Project Architect.
8. Reviewing all proposed project expenditures or requests for payment to ensure their propriety and to ensure proper allocation of expenditures to the CDBG contract budget.
9. In cooperation with the Clerk-Treasurer, processing payment requests and preparing drawdown requests to MDOC (including the Request for Payment, the Status of Funds Report and the Project Progress Report that are required with each drawdown request, as identified in Chapter 4 of the CDBG Manual).
10. Monitoring the contractor selection process, including the bid advertising, tabulation and award process for conformance to CDBG requirements. The manager will review the construction contract and rehabilitation contract provisions for CDBG compliance and will request MDOC clearance of the lowest and second lowest bidders before a contract is awarded.
11. Attending the pre-construction conference and monthly construction progress and monthly housing rehabilitation progress meetings.
12. Monitoring contractor(s)' compliance with applicable requirements.
13. Assuring compliance with all labor requirements for construction work activities. Responsibilities will include:
  - a) weekly review of the required weekly construction payroll reports to assure compliance with federal Davis-Bacon prevailing wage requirements;
  - b) periodic visits to the construction site to assure that required equal opportunity, labor standards, and Davis-Bacon wage determinations have been posted;
  - c) conducting regular on-site interviews with construction personnel to assure Davis-Bacon compliance; and
  - d) doing follow-up (e.g., investigations, communications and negotiations to achieve compliance) if non-compliance with labor standards is identified.
14. Assuring compliance with HUD Section 8 Quality Assurance Standards when applicable to housing rehabilitation activities.

15. Developing and administering a mechanism for compliance with HUD lead-based paint requirements and safe lead-based paint working conditions, where applicable.
16. Assuring compliance with applicable civil rights requirements, including preparation of equal employment opportunity resolutions and fair housing resolutions which will be adopted by the city, and an ADA-related inventory/assessment of public facilities (and an ADA Transition Plan) that is required by CDBG.
17. Supervising the delivery of the housing rehabilitation portion of this project -- i.e., supervising and managing CDBG financial assistance to low and moderate income (LMI) households and rental property owners with low and moderate income renters who are involved in approved housing rehabilitation activities by:
  - a) Establishing a local housing rehabilitation office, staffed to provide complete housing rehabilitation services, in conjunction with the city's housing rehabilitation advisory committee, including:
    - i. assisting homeowners and landlords with applications;
    - ii. screening applicants for eligibility;
    - iii. providing inspection services to establish levels of needed rehabilitation and making recommendations to the housing rehabilitation Advisory Committee;
    - iv. overseeing the bid process to select housing rehabilitation contractors to work on the homes of selected beneficiaries;
    - v. assuring that title searches, credit reviews and income verifications are completed.
  - b) Developing a marketing strategy for the project (in conjunction with the housing rehabilitation advisory committee) to assure a high level of participation by eligible LMI households, and performing public information activities including preparation of newspaper advertisements and articles regarding the project, posters and radio notices.
  - c) Negotiating with private lenders and public agencies to stimulate additional affordable housing investment in the project area.
  - d) Coordinating services with other agencies (such as power companies, the Human Resource Development Council/HRDC), Senior Citizens Center and the Area Agency on Aging, the County Health Department and the County Office of Public Assistance) to achieve maximum impact upon the housing rehabilitation needs of low and moderate income households in the project area.
  - e) Securing State Historic Preservation Office (SHPO) clearance for housing rehabilitation activities either by district designation or by the review of individual housing units.

- f) Providing technical assistance to the City for adoption of appropriate Codes for the acquisition and/or demolition of unsafe and abandoned property.
  - g) Conducting informational meetings for contractors and preparing lists of eligible contractors; and
  - h) Ensuring that proper inspections are performed, required permits, including zoning, are obtained, and lien waivers signed.
- 18. Preparing all required performance reports and closeout documents for submittal to MDOC/CDBG (as outlined in Chapter 13 of the CDBG Grant Administration Manual).
  - 19. Assist the City with the selection of an independent auditor to perform audits required by CDBG.
  - 20. Attending City Council meetings to provide project status reports and representing the CDBG project at any other public meetings, as deemed necessary by the Mayor.

B. ***The Project Architect*** will be responsible for:

- 1. Designing architectural plans for the new housing construction portion of this project.
- 2. Preparation of the construction bid package (for the new housing construction) in conformance with applicable CDBG requirements, requesting and securing CDBG review and approval of the bid specifications prior to advertising for bids, and supervision of the construction bid advertising.
- 3. Overseeing the bid tabulation and the housing construction bidding and award process, including the preparation of the advertisements for bid solicitation, assisting with the bid opening conducted by the City and the Project Manager and assisting with the issuance of the Notice to Proceed.
- 4. Conducting the pre-construction conference, with the assistance of the Project Manager, and involving the CDBG Liaison.
- 5. Supervision of the housing construction work and preparation of inspection reports.
- 6. Reviewing and approving all requests from contractors for payment and submitting the approved requests to the Project Manager.
- 7. Keeping the Project Manager informed of all significant construction project activities, including the preparation of regular reports (written and verbal) as required by the City's contract for architectural services.

### **III. FINANCIAL MANAGEMENT**

A. ***The Clerk-Treasurer*** will be responsible for:

1. Establishing the CDBG bank account and transferring CDBG funds from that account to the town's treasury for disbursements, based on claims and supporting documents approved by the project manager (from the project architect and other contractors, as applicable).
2. Since the City uses an interest bearing account for its general disbursements, a separate non-interest bearing account required by CDBG will be established and used for CDBG funds. Balances in that account will not exceed \$5,000 for a period of three days, to comply with CDBG rules outlined in the CDBG Manual, Chapter 4.
3. Entering all project transactions into the City's existing accounting system (BARS), and prepare checks/warrants for approved expenditures.
4. With the assistance of the Project Manager, preparing the CDBG Requests for Payment and Status of Funds Report (i.e., drawdown requests) to be submitted to MDOC/CDBG.
5. All drawdown requests will be signed by two of the three following persons: Mayor, Clerk-Treasurer, and Council President.
6. No expenditures will be made without the approval of the Council at a regular meeting.
7. With the assistance of the Project Manager, preparing the final financial reports and other reports needed for project closeout.

B. The Project Manager and the Clerk-Treasurer will review all proposed expenditures of CDBG funds and the Project Manager will prepare drawdown requests, which will be signed by the officials cited above.

1. All disbursements will be handled in accordance with the City's established procedures for reviewing claims.
2. Before submitting the claim to the Clerk-Treasurer, the Project Manager will attach a certification to each claim stating that the proposed expenditure is an eligible expense of the City's CDBG project and consistent with the project budget.
3. The Council will review all claims before approving them.

C. Financial record keeping will be done in conformance with the recommendations described in Chapter 4 of the Montana CDBG Grant Administration Manual. The original financial documents (claims with attached supporting material) will be retained in the City's offices.

D. Hourly time sheets will be maintained by the Project Manager and the Clerk-Treasurer to document all time worked on the CDBG project.

**(SAMPLE) QUARTERLY PROJECT IMPLEMENTATION SCHEDULE**  
**(For a project administered by local government staff)**

The sample project implementation schedule format found below is only an example of an acceptable implementation schedule for a city-managed housing project that involves both new housing construction and housing rehabilitation components. CDBG Applicants will need to adapt this sample schedule form for their project and its specific implementation schedule needs and priorities. Modify it as needed to express the unique schedule that fits your local project's needs and your timeline for the project -- e.g., by adding additional procurement steps necessary if grant and project management will be a contracted service.

<b>TASK</b>	<b>QUARTERS, 2010</b>				<b>QUARTERS, 2011</b>			
	<b>1st</b>	<b>2nd</b>	<b>3rd</b>	<b>4th</b>	<b>1st</b>	<b>2nd</b>	<b>3rd</b>	<b>4th</b>
<b>PROJECT START UP</b>								
Select Administrative Personnel, including Project Manager.	X							
Prepare/update budget, management plan and quarterly implementation schedule for inclusion in the contract. Negotiate final terms of contract, scope of work, budget.	X							
Secure signed contract with MDOC. Attend CDBG Grant Administration Workshop.	X							
CDBG issues authorization to incur costs for environmentally-exempt project activities.	X							
Complete civil rights actions required by CDBG at start-up (i.e., before first draw).	X							
Monthly project advisory committee meetings for both housing rehabilitation and new construction activities.	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX
Identify audit requirements relevant to the project, make arrangements for the project to be included in next audit(s), and establish an audit schedule for the project's duration.	X							
Identify the level of Environmental Review needed, conduct environmental review and cultural resource survey, do public notice of findings and request comments from public appropriate agencies.	X	X						
Upon completion of review comment period, prepare the Environmental Review Record. Request a CDBG Release of Funds.	X							
Submit drawdown requests and progress reports (Exhibit 4-F) to CDBG with each draw.	X	X	X	X	X	X	X	X
Submit Quarterly Update Reports (Exhibit 4-N) to CDBG 15 days before the end of each quarter.	X	X	X	X	X	X	X	X

	<b>QUARTERS, 2010</b>				<b>QUARTERS, 2011</b>			
<b>TASK</b>	<b>1st</b>	<b>2nd</b>	<b>3rd</b>	<b>4th</b>	<b>1st</b>	<b>2nd</b>	<b>3rd</b>	<b>4th</b>
<b>PROJECT DESIGN</b>								
Advertise for and select the Project Architect. Request CDBG debarment/eligibility review of selected architectural firm.	X	X						
Commence housing construction design.		X						
Finalize acquisition of site for housing construction.	X							
Complete housing construction design.								
Establish a city housing rehabilitation project advisory committee and a local housing rehabilitation office.	X							
Develop a marketing strategy for the housing rehabilitation project. Perform regular public information activities including preparation of newspaper advertisements, articles, posters and radio/tv notices regarding the project.	X	X	X	X	X	X	X	
Negotiate with private lenders and public agencies to stimulate additional housing investment in the project area.	X	X						
Coordinate housing rehab services with other agencies, including and the County Health Department and the County Office of Public Assistance.	XXX	XXX	XXX	XXX	XXX	XXX	XXX	XXX
Secure State Historic Preservation Office clearance for a) all housing rehabilitation sites and activities and b) the selected housing construction site.	X	X	X	X	X	X	X	X
Publish Section 3 notice. (Exhibit 5-B, Public Notice: Economic Opportunities for Low-Income and Moderate Persons)	X							
Prepare draft bid documents for new housing construction. Secure CDBG review and approval of bid documents.	X							
Prepare bid documents for housing rehab activities at selected individual sites.		X	X	X	X	X	X	X
<b>ADVERTISE FOR BIDS FOR NEW HOUSING CONSTRUCTION AND FOR HOUSING REHABILITATION</b>	<b>1st</b>	<b>2nd</b>	<b>3rd</b>	<b>4th</b>	<b>1st</b>	<b>2nd</b>	<b>3rd</b>	<b>4th</b>
Review the CDBG procurement and contract policies, and City procurement and contract requirements.	X							
Publish public bid advertisement for a) housing construction and b) housing rehab work.	X	X	X	X	X	X	X	
Open housing construction bids and examine proposals.		X	X	X	X	X	X	



	<b>QUARTERS, 2010</b>				<b>QUARTERS, 2011</b>			
<b>TASK</b>	<b>1st</b>	<b>2nd</b>	<b>3rd</b>	<b>4th</b>	<b>1st</b>	<b>2nd</b>	<b>3rd</b>	<b>4th</b>
Request contractor debarment (eligibility) reviews from CDBG for all tentatively-selected contractors.		X	X	X	X	X	X	
Select contractor(s) and award contract(s) for new housing construction and for individual housing rehabs.		X	X	X	X	X	X	
Conduct a pre-construction conference for housing construction.			X					
Conduct pre-construction conference(s) for housing rehab work.			X	X	X	X	X	X
Issue Notice(s) to Proceed for housing construction and for housing rehab contracts.			X	X	X	X	X	
<b>PROJECT CONSTRUCTION</b>	<b>1st</b>	<b>2nd</b>	<b>3rd</b>	<b>4th</b>	<b>1st</b>	<b>2nd</b>	<b>3rd</b>	<b>4th</b>
Begin new housing construction.			X					
Begin housing rehabilitation work at the selected sites on the schedule set by the Project Advisory Committee.			X					
Monitor the work of the project architect and of the new housing construction contractor(s) and of the housing rehabilitation contractor(s).			XXX	XXX	XXX	XXX	XXX	XXX
Conduct weekly payroll reviews of new housing construction contractors to assure labor compliance.			X	X	X	X	X	X
Conduct regular interviews of employees of the new housing contractors			X	X	X	X	X	X
Hold construction progress meetings.			X	X	X	X	X	X
Provide technical assistance to the City for adoption of appropriate Codes for the acquisition and/or demolition of unsafe and abandoned property.					X	X	X	X
Conduct final inspection of individual housing rehabs completed.			X	X	X	X	X	X
Conduct final inspection of new housing construction.								X
Submit drawdown requests to CDBG with Progress Reports.	X	X	X	X	X	X	X	X
Submit Quarterly Progress Reports to Montana CDBG for construction and rehabilitation and project administrative activities.	X	X	X	X	X	X	X	X

	<b>QUARTERS, 2010</b>				<b>QUARTERS, 2011</b>			
<b>TASK</b>	<b>1st</b>	<b>2nd</b>	<b>3rd</b>	<b>4th</b>	<b>1st</b>	<b>2nd</b>	<b>3rd</b>	<b>4th</b>
<b>PROJECT CLOSE OUT</b>								
CDBG schedules and conducts on-site monitoring review of the project. Respond, as needed, to CDBG's monitoring report.						X		
Submit Project Completion Report to CDBG within 60 days of project completion. Submit Conditional Closeout Certification.								X
Include the project in the next City audit(s).				X			X	
Submit audit results to CDBG as soon as possible.						X		X
Submit Final Closeout Certification to CDBG. Submit final drawdown request. CDBG issues Final Closeout Letter.								X